

JC972 U.S. PTO  
02/22/02

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02-2502

Approved for use through 10/31/2002. OMB 0651-0032  
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A

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10/08/14 38  
02/22/02UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under

Attorney Docket No. 15904/31153

First Inventor Gregory W. Kasten

Title System and Method of Rating a Financial Investment

Express Mail No. EL474186144US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
BOX PATENT APPLICATION  
Washington, D.C. 20231

1.  Applicant claims small entity status.  
See 37 CFR 1.27.

2.  Specification [Total Pages 23]
 

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3.  Drawing(s) (35 U.S.C. 113) [Total Sheets 5]

4. Oath or Declaration [Total Pages 2]
 

- a.  Newly executed (original or copy)
- b.  Unexecuted
- c.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

5.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 

- a.  Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i.  CD-ROM or CD-R (2 copies); or
  - ii.  paper
- c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7.  Assignment Papers (cover sheet & document(s))

8.  37 CFR 3.73(b) Statement  Power of Attorney (when there is an assignee)

9.  English Translation Document (if applicable)

10.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

11.  Preliminary Amendment

12.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

13.  Certified Copy of Priority Document(s) (if foreign priority is claimed)

14.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent

15.  Certificate of Express Mail

16.  Other: Postcard

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP) of prior application No \_\_\_\_\_ / \_\_\_\_\_

Prior application information.

Examiner \_\_\_\_\_

Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	021888 (Insert Customer No. or Attach bar code label here)		or	<input checked="" type="checkbox"/> Correspondence address below	
Name	Caroline G. Chicoine			Registration No. (Attorney/Agent) #	
Address	Thompson Coburn LLP One Firststar Plaza, Suite 3500				
City	St. Louis	State	MO	Zip Code	63101
Country	U.S.A.	Telephone	314-552-6499	Fax	314-552-7499

Burden Hour Statement. This form is estimated to take 0 2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: ASSISTANT COMMISSIONER for Patents, Box Patent Application, Washington, D.C. 20231

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PATENT APPLICATION FEE DETERMINATION RECORD				Application or Docket Number 15904/31153		
CLAIMS AS FILED – PART I			SMALL ENTITY		OR	OTHER THAN SMALL ENTITY
(Column 1)		(Column 2)	RATE	Fee		
FOR	NUMBER FILED	NUMBER EXTRA			RATE	
BASIC FEE (37 CFR 1.16(a))					370.00	
TOTAL CLAIMS (37 CFR 1.16(c))	24	minus 20 =	4	x \$9.00 =	36.00	OR x \$ = 0.00
INDEPENDENT CLAIMS (37 CFR 1.16(b))	2	minus 3 =	0	x \$ =	0.00	OR x \$ = 0.00
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))				+ \$ =		OR + \$ =
* If the difference in column 1 is less than zero, enter "0" in column 2				TOTAL	406.00	OR TOTAL 0.00

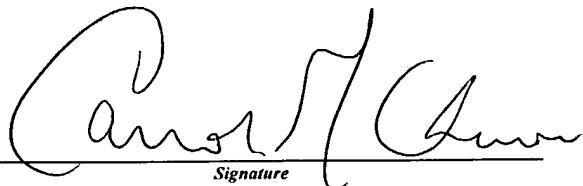
A check in the amount of \_\_\_\_\_ is attached.

The Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \$406.00.

Credit any overpayment.

Charge any additional fee required.



Signature

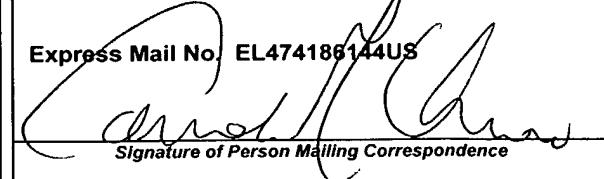
Dated: February 22, 2002

Caroline G. Chicoine, Reg. No. 38,198  
 Thompson Coburn LLP  
 One Firststar Plaza, Suite 3500  
 St. Louis, Missouri 63101  
 314-552-6499  
 FAX 314-552-7499

Customer No. 021888

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 Caroline G. Chicoine  
 Typed or Printed Name of Person Mailing Correspondence

**EXPRESS MAIL CERTIFICATE OF MAILING (37 CFR 1.10)**  
**Express Mail No. EL474186144US**

Docket No.  
**15904/31153**

In Re Application Of:  
**Gregory W. Kasten**

Serial No. To be assigned	Filing Date To be assigned	Examiner To be assigned	Group Art Unit To be assigned
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Title:

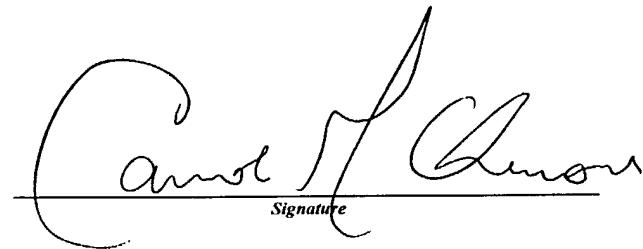
**System and Method of Rating a Financial Investment**

**TO THE COMMISSIONER OF PATENTS AND TRADEMARKS**

Transmitted herewith is:

Utility Patent Application Transmittal:

Patent Application  
 Drawings: 5 Sheets  Formal  Informal;  
 Power of Attorney:  Executed  Not executed  
 Declaration:  Executed  Not executed  
 Assignment with Recordation Form  
 37 CFR 3.73(b) Statement  
 Information Disclosure Statement with References ( )  
 NonPublication Request under 35 U.S.C. 122(b)(2)(B)(i)  
 Postcard  
 A check in the amount of is attached



Dated: February 22, 2002

c/o Caroline G. Chicoine, Reg. No.38,198  
 Thompson Coburn LLP  
 One Firststar Plaza, Suite 3500  
 St. Louis, Missouri 63101  
 314-552-6499  
 314-552-7499 FAX

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*Caroline G. Chicoine*  
*Signature of Person Mailing Correspondence*

*Caroline G. Chicoine*  
*Typed or Printed Name of Person Mailing Correspondence*